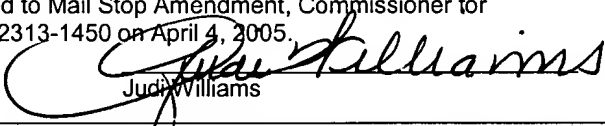


<b>INFORMATION DISCLOSURE STATEMENT</b>	Docket No. C0003/7030
Applicant: Peter Ho et al. Serial No: 09/743,621 Filed: April 9, 2001 For: OPTICAL DEVICES Examiner: Edward J. Cain Art Unit: 1714	

<p style="text-align: center;">CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)</p> <p>The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on April 4, 2005.</p> <p style="text-align: right;"> Judith Williams</p>
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Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

In keeping with the duty of candor and good faith owed to the Patent and Trademark Office, Applicant wishes to bring information to the attention of the Examiner. The filing of this statement shall not be construed as a representation that a search has been made or as an admission that this information is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

#### Enclosures

- ☒ A form PTO-1449 listing this information is attached  
Copies of documents cited, other than U.S. patents and published U.S. patent applications, are enclosed.
- ☐ Copies of the cited documents are not enclosed because

#### Fees

- ☐ This statement is filed before the later of (1) three months of (i) the filing of a national application or (ii) the entry date for the national stage of an international application or (2) the mailing date of a first office action on the merits. No fee is due.
- ☐ This statement is filed before the mailing date of a final office action, a notice of allowance or an action that otherwise closes prosecution, and
- ☐ The submission fee of \$180.00 under 37 CFR §1.17(p) is enclosed, or
- ☐ The following certification is made:
- ☐ each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement, or

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- ☐ no item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in this statement was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.
- ☒ This statement is filed on or before payment of the issue fee, the submission fee of \$180.00 under 37 CFR §1.17(p) is enclosed, *and*
- ☒ each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement, or
- ☐ no item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in this statement was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

**Payment**

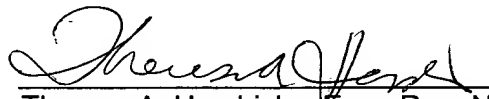
- ☒ A check in the amount of the submission fee is enclosed.
- ☐ Charge Account No. 02-3038 in the amount of the submission fee. A duplicate of this transmittal sheet is attached.

**Authorization to Charge Additional Fees**

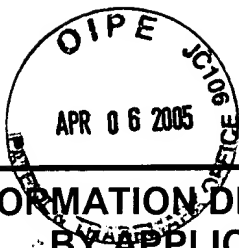
- ☒ The Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. §1.16 and §1.17 required by the attached paper and during the entire pendency of this application to Account No. 02-3038.

Respectfully submitted,

Date: April 4, 2005



Therese A. Hendricks, Esq., Reg. No. 30,389  
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**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT Sheet 1 of 2**

Docket No. C0003/7030

Applicant: Peter Ho et al.  
Serial No: 09/743,621  
Filed: April 9, 2001  
For: OPTICAL DEVICES  
Examiner: Edward J. Cain  
Art Unit: 1714

**U.S. PATENT DOCUMENTS**

Exam Inits	Cite No.	Document Number	Kind Code	Patentee or Applicant Name	Publication Date
		5,579,429	A1	Naum	NOv. 26, 1996
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**FOREIGN PATENT DOCUMENTS**

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Examiner  
SignatureDate  
Considered

# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT Sheet 2 of 2**

Docket No. C0003/7030

Applicant: Peter Ho et al.  
 Serial No: 09/743,621  
 Filed: April 9, 2001  
 For: OPTICAL DEVICES  
 Examiner: Edward J. Cain  
 Art Unit: 1714



## **OTHER PRIOR ART – NON PATENT LITERATURE AND DOCUMENTS**

Exam Inits	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the articles (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
		Copy of Communication pursuant to Article 96(2) EPC, mailed 4 March 2005, from the European Patent Office in corresponding Application No. 99 933 046.7-2111	<input type="checkbox"/>
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Examiner  
Signature

Date  
Considered